



**Kentucky Department of Financial Institutions
Securities Division**

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Frankfort, Kentucky 40601
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Website: www.kfi.ky.gov

BROKER-DEALER INTERNET WEB SITE OPERATOR NOTICE FILING FORM

1. Broker-Dealer's Name: _____
2. Contact Person: _____
3. Business Address:
Number and Street: _____
P.O. Box, if applicable: _____
City: _____ State: _____ ZIP Code: _____
4. Telephone Number: _____
5. Email: _____
6. Uniform Resource Locator (URL) Address (Crowdfunding site):

7. CRD Number: _____

By signing and submitting this notice form, the broker-dealer operating the internet web site hereby declares and represents that it is registered with the Kentucky Department of Financial Institutions pursuant to KRS 292.330. The broker-dealer operating the internet web site further states that it has read and will comply with KRS Chapter 292, and all administrative regulations and orders promulgated or issued pursuant thereto.

Signature

Date

Print Name

Title